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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Patent Application of

David W. Sherrer

Group Art Unit: 2874

Serial No. 09/851,376

Attorney Docket No. ACT.011

Filed: May 9, 2001

Title: OPTICAL WAVEGUIDE FERRULE AND METHOD OF MAKING AN  
OPTICAL WAVEGUIDE FERRULE

**ASSERTION OF SMALL ENTITY STATUS**

Honorable Commissioner For Patents  
Washington, D.C. 20231


Sir:

Applicants, by the undersigned, hereby assert that the above-identified application  
is entitled to "small entity status" pursuant to the provisions of 37 C.F.R. §1.27.

Respectfully submitted,

JONES VOLENTINE, PLLC

By:

  
Adam C. Volentine  
Reg. No. 33,289

Date: August 1, 2001

JONES VOLENTINE, PLLC  
12200 Sunrise Valley Drive, Suite 150  
Reston, VA 20191  
(703) 715-0870

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.  
ACT.011

In Re Application Of: **David W. Sherrer**

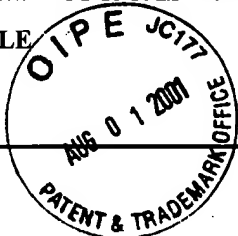
Serial No.  
09/851,376

Filing Date  
05/09/01

Examiner  
UNKNOWN

Group Art Unit  
2874

Invention: **OPTICAL WAVEGUIDE FERRULE AND METHOD OF MAKING AN OPTICAL WAVEGUIDE  
FERRULE**



**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
**JULY 9, 2001**  
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ \_\_\_\_\_ verified small entity declaration(s)
  - ☐ is/are attached.
  - ☐ was/were filed on \_\_\_\_\_
- ☐ A separate request for refund.
- ☒ Other (list):

**ASSERTION OF SMALL ENTITY STATUS**

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.  
ACT.011

In Re Application Of: **David W. Sherrer**

Serial No.  
09/851,376

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Examiner  
UNKNOWN

Group Art Unit  
2874

Invention: **OPTICAL WAVEGUIDE FERRULE AND METHOD OF MAKING AN OPTICAL WAVEGUIDE  
FERRULE**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

☒ Completion of application fees as calculated below:

☒ Utility application filing fee \$355.00

☐ Design application filing fee \_\_\_\_\_

☒ Total number of independent claims = 4 \$40.00

☒ Total number of claims = 34 \$126.00

☐ Multiple dependent claims \_\_\_\_\_

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$65.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor \_\_\_\_\_

☐ Fee for processing an application filed with a non-English language specification \_\_\_\_\_

☐ Fee for processing and retention of application \_\_\_\_\_

Total completion of application fees \$586.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due \$586.00

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.  
**ACT.011**

In Re Application Of: **David W. Sherrer**

Serial No.  
**09/851,376**

Filing Date  
**05/09/01**

Examiner  
**UNKNOWN**

Group Art Unit  
**2874**

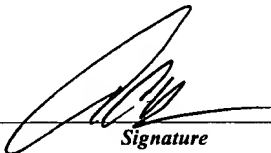
Invention: **OPTICAL WAVEGUIDE FERRULE AND METHOD OF MAKING AN OPTICAL WAVEGUIDE  
FERRULE**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Attention: Manager, Application Branch**

The fee of **\$586.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **50-0238**  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **50-0238**  
A duplicate copy of this sheet is enclosed.

  
*Signature*

Dated: **AUGUST 1, 2001**

**ADAM C. VOLENTINE  
REG. NO. 33289**

**JONES VOLENTINE, PLLC  
12200 SUNRISE VALLEY DRIVE, SUITE 150  
RESTON, VA 20191**

**TEL. NO. (703) 715-0870**

CC:

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Signature of Person Mailing Correspondence*

*Typed or Printed Name of Person Mailing Correspondence*



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/851,376	05/09/2001	David W. Sherrer	ACT.011

CONFIRMATION NO. 3898

FORMALITIES LETTER



\*OC000000006272663\*

JONES VOLENTINE, P.L.L.C.  
Suite 150  
12200 Sunrise Valley Drive  
Reston, VA 20191

Date Mailed: 07/09/2001



NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$332.
  - \$252 for 14 total claims over 20.
  - \$80 for 1 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1172.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/03/2001 AZERGAW1 00000063 09851376  
01 FC:201 355.00 OP  
02 FC:203 126.00 OP  
03 FC:202 40.00 OP  
04 FC:205 65.00 OP